

19/870,379

OIPE  
MAR 25 2005  
JAN 12 2005  
PATENT  
TRADEMARK OFFICE

7m  
DAC  
#

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In re:** U.S. Patent No. 6,777,439 B2  
**Issued:** August 17, 2004  
**To:** Advanced Research & Technology Institute, Inc.  
**Title:** COMPOSITIONS AND METHODS FOR IDENTIFYING AGENTS WHICH  
MODULATE PTEN FUNCTION AND PI-3 KINASE PATHWAYS

Certificate of Mailing Under 37 CFR §1.8(a)

I hereby certify that this correspondence is being deposited on March 23, 2005 with the United States Postal Service as first class mail in an envelope addressed to Mail Stop Petition, COMMISSIONER OF PATENTS, P.O. Box 1450, Alexandria, VA 22313-1450.

March 23, 2005  
Date of Certificate

Janice M. Nightlinger  
Janice M. Nightlinger

Mail Stop PETITION  
COMMISSIONER OF PATENTS  
P.O. Box 1450  
Alexandria, VA 22313-1450.

To the Hon. Commissioner for Patents

**PETITION FOR CORRECTION OF ASSIGNEE'S NAME**

Patentee hereby petitions to correct the assignee's name on the above identified patent by issuing the attached Certificate of Correction (form PTO 1050). It is respectfully requested under 37 C.F.R. §1.183 that 37 C.F.R. §3.81(a) be waived to permit the correct name of the assignee to be provided after the issuance of the above identified patent.

The failure to include the correct assignee name on the PTOL-85B form was inadvertent. Indeed, at the time the PTOL-85B form was filed on May 14, 2004, the assignee's name was Advanced Research & Technology Institute, Inc. However, over 4 months later on September 29, 2004, the assignee changed its name to Indiana University Research and Technology Corporation, as evidenced by the attached Certificate of Amendment.

A copy of the Notice of Recordation of Assignment Document is also attached. The Notice of Recordation of Assignment Document, which contains the reel and frame number where the assignment is recorded, reflects the original name Advanced Research & Technology Institute, Inc. and its previous address. As stated hereinabove, the correct new name is Indiana University Research and Technology Corporation and the correct new address is 351 West Tenth Street, Indianapolis, IN 46202.

03/28/2005 MAHMED1 00000040 041406 6777439

01 FC:1811 100.00 OP

03/28/2005 MAHMED1 00000040 041406 6777439

02 FC:1462 270.00 DA 130.00 OP

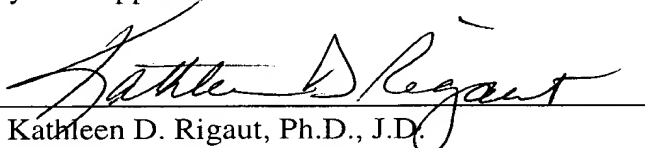
A check in the amount of \$230.00 is enclosed for both the petition fee of \$130.00 (37 C.F.R. §1.17(h) and the Certificate of Correction fee of \$100.00 (37 C.F.R. §1.20). The Commissioner is authorized to charge any underpayment or credit any overpayment to the Deposit Account 04-1406 of the undersigned attorneys. A duplicate copy of this sheet is enclosed.

It is respectfully requested that, if the petition is granted, that the file be forwarded to the Certificates of Correction Branch for issuance of a Certificate of Correction.

Respectfully submitted,

DANN, DORFMAN, HERRELL & SKILLMAN  
A Professional Corporation  
Attorneys for Applicant

By

  
Kathleen D. Rigaut, Ph.D., J.D.  
PTO Registration No. 43,047

Telephone: (215) 563-4100  
Facsimile: (215) 563-4044

Customer No. 000110

## UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

PATENT NO. : 6,777,439 B2  
DATED : August 17, 2004  
INVENTOR(S) : Donald L. Durden

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

(73) Assignee: Indiana University Research  
and Technology Corporation,  
Indianapolis, IN (US)

### MAILING ADDRESS OF SENDER:

Dann Dorfman Herrell and Skillman  
1601 Market Street, Suite 2400  
Philadelphia, PA 19103-2307

PATENT NO. 6,777,439 B2

No. of additional copies



This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*

State of Indiana  
Office of the Secretary of State

CERTIFICATE OF AMENDMENT

of

**ADVANCED RESEARCH AND TECHNOLOGY INSTITUTE, INC.**

I, TODD ROKITA, Secretary of State of Indiana, hereby certify that Articles of Amendment of the above Non-Profit Domestic Corporation have been presented to me at my office, accompanied by the fees prescribed by law and that the documentation presented conforms to law as prescribed by the provisions of the Indiana Nonprofit Corporation Act of 1991.

The name following said transaction will be:

**INDIANA UNIVERSITY RESEARCH AND TECHNOLOGY CORPORATION**

NOW, THEREFORE, with this document I certify that said transaction will become effective Wednesday, September 29, 2004.



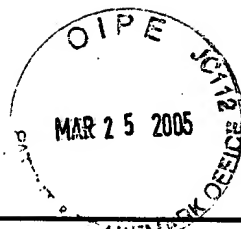
In Witness Whereof, I have caused to be  
affixed my signature and the seal of the  
State of Indiana, at the City of Indianapolis,  
September 29, 2004.

A handwritten signature in black ink that reads "Todd Rokita".

TODD ROKITA,  
SECRETARY OF STATE



UNITED STATES  
PATENT AND  
TRADEMARK OFFICE



APRIL 19, 2002

PTAS

Chief Information Officer  
Washington, DC 20231  
www.uspto.gov

DANN, DORFMAN, HERRELL AND SKILLMAN, P.C.  
KATHLEEN D. RIGAUT  
1601 MARKET STREET, SUITE 720  
PHILADELPHIA, PENNSYLVANIA 19103-2307



\*101993987A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/11/2002

REEL/FRAME: 012600/0625  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

DURDEN, DONALD R.

DOC DATE: 12/18/2001

ASSIGNEE:

ADVANCED RESEARCH & TECHNOLOGY  
INSTITUTE, INC.  
1100 WATERWAY BOULEVARD  
SUITE 100  
INDIANAPOLIS, INDIANA 46202-2156

SERIAL NUMBER: 09870379

FILING DATE: 05/30/2001

PATENT NUMBER:

ISSUE DATE:

PEARLENE FOSTER, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

02-27-2002



To the Honorable Commissioner of Patents and Trademark

101993987

of.

## 1. Name of conveying party(ies):

Donald R. Durden

## 2. Name and address of receiving party(ies):

Name: **Advanced Research & Technology  
Institute, Inc.**

Internal Address

Street Address: **1100 Waterway Boulevard,  
Suite 100**City: **Indianapolis** State/Country: **IN** ZIP: **46202-2156**Additional name(s) & address(es) attached? ☐ Yes ☒ NoAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Execution Date: **December 18, 2001**

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

B. Patent No.(s)

**09/870,379**Additional Application/Patent Numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: **Kathleen D. Rigaut, Ph.D., J.D.**Address: **DANN, DORFMAN, HERRELL AND SKILLMAN, P.C.**  
1601 Market Street, Suite 720  
Philadelphia, Pennsylvania 19103-2307  
Telephone: (215) 563-4100 Facsimile: (215) 563-4044

## 6. Total number of applications and patents involved:.....

1

7. Total Fee (37 CFR 3.41).....\$ **40.00**

- ☒ Enclosed  
☐ Authorized to be charged to deposit account

8. In the event the check enclosed is improper, or the fee calculation is in error, the Commissioner is authorized to charge any underpayment or credit any overpayment to the account of the undersigned attorneys.

Deposit Account Number: **04-1406**

02/26/2002 DBYRNE 00000208 09870379

01 FC:581

40.00 OP

DO NOT USE THIS SPACE

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

**Kathleen D. Rigaut, Ph.D., J.D.**

Name of Attorney or Agent

Signature of Attorney or Agent

**January 10, 2002**

Total number of pages comprising cover sheet: 3 (Includes this sheet in duplicate)

Do not detach this portion

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents and Trademarks  
Box Assignments  
Washington, DC 20231

①

100

(hereinafter referred to as ASSIGNEE), an educational institution organized and existing under and by virtue of the laws of the State of Indiana, and engaged in business at 1100 Waterway Boulevard, Suite 100, Indianapolis, Indiana 46202-2156, is desirous of acquiring the said invention and any and all applications for Letters Patent and any and all Letters Patent of the United States and foreign countries which may be issued therefor;

NOW THEREFORE THIS IS TO WITNESS that in consideration of the sum of One Dollar (\$1.00) paid to ASSIGNOR by ASSIGNEE, the receipt of which is hereby acknowledged, and for other good and valuable consideration, ASSIGNOR has sold, assigned and set over and hereby does sell, assign and set over, unto ASSIGNEE, its successors and assigns, his or her entire right, title and interest for, to and within the United States and all foreign countries, in and to the aforesaid invention, and in and to any and all Letters Patent which may be issued therefor in the United States and in any and all foreign countries.

And ASSIGNOR hereby authorizes and requests the Commissioner of Patents and Trademarks to issue any and all Letters Patent of the United States to ASSIGNEE, it successors and assigns, as the owner of all right, title and interest therein.

And for said consideration, it is hereby covenanted and agreed that at the request and expense of ASSIGNEE, its successors and assigns, ASSIGNOR will execute any further papers and do such other acts and things as may be necessary and proper to permit ASSIGNEE, its successors and assigns, to procure Letters Patent for said invention in the United States and in such foreign countries as ASSIGNEE, its successors and assigns may elect, and vest the full title thereto in ASSIGNEE, its successors and assigns.

IN WITNESS WHEREOF, this Assignment has been executed on the day and month indicated below.

Signature

Nov 20

Donald R. Durden

**PATENTS ONLY**

Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

**Donald R. Durden**Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: **December 18, 2001**

## 2. Name and address of receiving party(ies):

Name: **Advanced Research & Technology  
Institute, Inc.**

Internal Address \_\_\_\_\_

Street Address: **1100 Waterway Boulevard,  
Suite 100**City: **Indianapolis** State/Country: **IN** ZIP: **46202-2156**Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

B. Patent No.(s)

**09/870,379**Additional Application/Patent Numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: **Kathleen D. Rigaut, Ph.D., J.D.**Address: **DANN, DORFMAN, HERRELL AND SKILLMAN, P.C.****1601 Market Street, Suite 720****Philadelphia, Pennsylvania 19103-2307**

Telephone: (215) 563-4100 Facsimile: (215) 563-4044

## 6. Total number of applications and patents involved:.....

**1**7. Total Fee (37 CFR 3.41).....\$ **40.00**

- ☒ Enclosed  
☐ Authorized to be charged to deposit account

8. In the event the check enclosed is improper, or the fee calculation is in error, the Commissioner is authorized to charge any underpayment or credit any overpayment to the account of the undersigned attorneys.

Deposit Account Number: **04-1406**

DO NOT USE THIS SPACE

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

**Kathleen D. Rigaut, Ph.D., J.D.**

Name of Attorney or Agent

  
Signature of Attorney or Agent**January 10, 2002**Total number of pages comprising cover sheet: **3** (Includes this sheet in duplicate)

Do not detach this portion

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks  
Box Assignments  
Washington, DC 20231